

Please type a plus sign (+) inside ☐ box → ☒

Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|------------------------|---|
| Attorney Docket No. | 50324-1141 |
| First Inventor | Hsia et al. |
| Title | METHOD AND APPARATUS FOR HIGH-RESOLUTION IN-SITU PLASMA ETCHING OF INORGANIC AND METAL FILMS |
| Express Mail Label No. | EL891535089US |

APPLICATION ELEMENTS
See MPEP Chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

☐ APPLICANT REQUESTS EARLY PUBLICATION UNDER 37 CFR 1.219 (additional fee)

| | |
|---|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing) | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) |
| 2. <input type="checkbox"/> Applicant claims small entity status. | 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) |
| 3. <input checked="" type="checkbox"/> Specification (preferred arrangement set forth below) [Total Pages 21] | a. <input type="checkbox"/> Computer Readable Copy (CRF) |
| - Descriptive title of the invention | b. Specification Sequence Listing on: |
| - Cross References to Related Applications | i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or |
| - Statement Regarding Fed. Sponsored R&D | ii. <input type="checkbox"/> Paper |
| - Reference to sequence listing, a table, or a computer program listing appendix | c. <input type="checkbox"/> Statements verifying identity of above copies |
| - Background of the Invention | |
| - Brief Summary of the Invention | |
| - Brief Description of the Drawings (if filed) | |
| - Detailed Description | |
| - Claim(s) | |
| - Abstract of the Disclosure | |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets 7] | 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & Documents(s)) |
| 5. Oath or Declaration [Total Pages 3] | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney |
| a. <input type="checkbox"/> Newly Executed (original or copy) | 11. <input type="checkbox"/> English Translation Document (if applicable) |
| b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) | 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations |
| i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). | 13. <input type="checkbox"/> Preliminary Amendment |
| 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) |
| Assignee Name and Address (if applicable) | 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) |
| | 16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. |
| | 17. <input type="checkbox"/> Other: |

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09/275,628.

Prior application information: Examiner K. Chen Group / Art Unit: 1765

For CONTINUATION OR DIVISIONAL APPS only: the entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **24504** (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

| | | | |
|---------|---|-----------|--------------|
| NAME | William F. Heinze Thomas, Kayden, Horstemeyer & Risley, L.L.P. | | |
| ADDRESS | 100 Galleria Parkway Suite 1750 | | |
| CITY | Atlanta | STATE | Georgia |
| COUNTRY | U.S.A. | TELEPHONE | 770-933-9500 |
| | | ZIP CODE | 30339-5948 |
| | | FAX | 770-951-0933 |

| | | | |
|-------------------|--------------------|-----------------------------------|---------|
| Name (Print/Type) | William F. Heinze | Registration No. (Attorney/Agent) | 36,161 |
| Signature | <i>W.F. Heinze</i> | Date | 9/19/01 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

Complete If Known

| | |
|----------------------|----------------|
| Application Number | To Be Assigned |
| Filing Date | Herewith |
| First Named Inventor | Hsia et al. |
| Examiner Name | To Be Assigned |
| Group / Art Unit | To Be Assigned |
| Attorney Docket No. | 50324-1141 |

TOTAL AMOUNT OF PAYMENT (\$) 750.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge to the following Deposit Account.

Deposit Account Number

20-0778

Deposit Account Name

Thomas, Kayden, Horstemeyer Risley

- ☐ Charge all indicated fees and any additional fee required or credit any overpayment.
- ☒ Charge any additional fee required and requested to credit any overpayment. ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Credit Card

FEE CALCULATION

1. BASIC FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 101 | 710 | 201 | 355 | Utility filing fee | \$710 |
| 106 | 320 | 206 | 160 | Design filing fee | \$ |
| 107 | 490 | 207 | 245 | Plant filing fee | \$ |
| 108 | 710 | 208 | 355 | Reissue filing fee | \$ |
| 114 | 150 | 214 | 75 | Provisional filing fee | \$ |
| SUBTOTAL (1) | | | | | (\$710) |

2. EXTRA CLAIM FEES

| | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|-------------|
| Total Claims | 20 | -20** = 0 | x 18.00 = 0 |
| Independent Claims | 3 | -3** = 3 | x 80.00 = 0 |
| Multiple Dependent | | 270.00 | = 0 |

**or number previously paid, if greater; For Reissue, see below

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description |
|----------------|-----------------|----------------|-----------------|---|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent Claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claims in excess of 3 |
| 109 | 80 | 209 | 40 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) | | | | (\$0) |

3. ADDITIONAL FEES

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------|-----------------|----------------|-----------------|---|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet. | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | Extension of time within second month | |
| 117 | 890 | 217 | 445 | Extension of time within third month | |
| 118 | 1,390 | 218 | 695 | Extension of time within fourth month | |
| 128 | 1,890 | 228 | 945 | Extension of time within fifth month | |
| 119 | 310 | 219 | 155 | Notice of Appeal | |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt. | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (time number of properties) | 40 |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

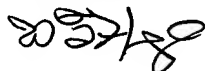
SUBTOTAL (3) 40.00

SUBMITTED BY

Typed or Printed Name

William F. Heinze

Signature



Date

2/15/01

Complete (if applicable)

Reg. Number

36,161

Deposit Account User ID

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: **Hsia et al.**For: **Method and Apparatus for High-Resolution In-Situ Plasma Etching of Inorganic and Metal Films****CERTIFICATE OF EXPRESS MAIL**

Assistant Commissioner for Patents
BOX: Patent Application
Washington, D.C. 20231

Sir:

Enclosed for filing in the above case are the following documents:

Return Postcard
Utility Patent Application Transmittal Page
Fee Transmittal Page
Check for \$710 (Patent Application Filing Fee)
Check for \$40 (Assignment Recordation Fee)
Patent Application Consisting Of:
17 Pages of Specification
3 Pages of Claims (Claims 1-20)
1 Page of Abstract
7 Pages of Formal Drawings (Figs. 1a-8)
Assignment with Cover Sheet
Declaration for Patent Application
Power of Attorney
Certificate Under 37 C.F.R. §3.73(b)
Information Disclosure Statement with Form PTO 1449

Further, the Commissioner is authorized to charge Deposit Account No. 20-0778 for any additional fees required. The Commissioner is requested to credit any excess fee paid to Deposit Account No. 20-0778

Respectfully submitted,

 9/19/01

William F. Heinze, Reg. No. 36,161
THOMAS, KAYDEN, HORSTEMEYER
& RISLEY, L.L.P.
100 Galleria Parkway, N.W.
Suite 1750
Atlanta, Georgia 30339-5948

Our Docket No: **050324-1141**

I hereby certify that all correspondences listed above are being deposited for delivery to the above addressee, with the United States Postal Service **"EXPRESS MAIL POST OFFICE TO ADDRESSEE"** service under 37 CFR §1.10 on the date indicated below:

The envelope has been given U.S. Postal Service "Express Mail Post Office To Addressee" Package # **EL891535089US**.

Date: 9-19-01


Evelyn Sanders